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PROSKAUER ROSE LLP

Date December 6, 2004 Client-Matter - 74577-031

Total Pages (Including Cover) 5

Fax Transmittal

From Juan C. Arias

Sender's Voice Number 212.969.4138

Sender's Room Number 17-19

Sender's Email Address jarias@proskauer.com

Main Fax Number 212.969.2900

To: Examiner - Bunjob Jaroenchonwanit (Group Art No. 2143)

Fax No.: 703.872.9306

Company: United States Patent And Trademark Office

Voice No.: 571.272.3913

## Message

Re: U.S. Patent Application No. 09/893,202

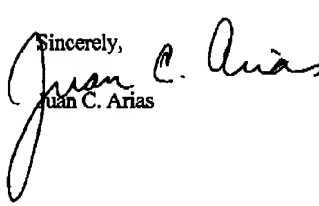
Filing Date: June 27, 2001

First Named Inventor: Bernard Baldwin

Dear Examiner Jaroenchonwanit:

As per our conversation of earlier today, attached is the Revocation of Power of Attorney and the new Power of Attorney for the above-identified patent application which we filed on June 20, 2003. Also attached is a copy of the return postcard that we enclosed at the time of filing these documents. We request that these documents be entered as soon as possible and our address recorded so that all future correspondence can be forwarded to us.

Sincerely,

  
Juan C. Arias

Confidentiality Note: This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

Receipt is officially acknowledged of the following papers:

- \* Status Request Letter
- \* Statement Under 37 CFR 3.73 (b)
- \* Revocation Power of Attorney; Power of Attorney
- \* Transmittal Form

1<sup>st</sup> Class Mail

the date stamped hereon. June 24, 2003

Patent Application Serial No. 09/893,202

Docket No. 74577-031



PTO/SB/02 (05-03)

Approved for use through 11/30/2005, OMB 0651-0036

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**REVOCATION OF POWER OF  
ATTORNEY AND  
AUTHORIZATION OF AGENT**

Application Number	09/893,202
Filing Date	June 27, 2001
First Named Inventor	BRITAIN J. DALBY
Art Unit	2162
Examiner Name	
Attorney Docket Number	74577-031

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I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application:

☒ A power of Attorney or Authorization of Agent is submitted herewith.

OR


☐ Please change the correspondence address for the above-identified application to:☐ Customer NumberPlace Customer  
Number Bar Code  
Label here

OR

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Address			
Address			
City			
Country	State	Zip	
Telephone	Fax		

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (If form PTO/SB/02N)**SIGNATURE of Applicant or Assignee of Record**

Name	Gregg I. Goldman, Director and Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		
Signature			
Date	6-20-03	Telephone	203.719.3099

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.56. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: **Bernard BALDWIN**Application No./Patent No.: **09/893,202** Filed/Issue Date: **June 27, 2001**Entitled: **METHOD AND SYSTEM FOR PROVIDING DISTRIBUTED FUNCTIONALITY AND DATA ANALYSIS...**

UBS AG a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:1. From: **Bernard C. BALDWIN**To: **UBS AG**The document was recorded in the United States Patent and Trademark Office at  
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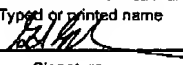
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[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

**6-20-01**  
Date  
**203.719.3099**  
Telephone number**Gregg I. Goldman**  
Typed or printed name  
  
Signature  
**Director and Counsel**  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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